

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	09801588
Filing Date	2001-03-08
First Named Inventor	Keith
Art Unit	3692
Examiner Name	C.B. Graham
Attorney Docket Number	125464

U.S. PATENTS[Remove](#)

Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	5864827	A	1999-01-26	Wilson	
	2	6012043	A	2000-01-04	Albright	
	3	6021397	A	2000-02-01	Jones	
	4	6377940	B2	2002-04-23	Tilfors	
	5	6493681	B1	2002-12-10	Tertitski	
	6	6594643	B1	2003-07-15	Freeny, Jr.	
	7	6850907	B2	2005-02-01	Lutnick	
	8	7242669	B2	2007-07-10	Bundy	

If you wish to add additional U.S. Patent citation information please click the Add button.

[Add](#)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	09801588
Filing Date	2001-03-08
First Named Inventor	Keith
Art Unit	3692
Examiner Name	C.B. Graham
Attorney Docket Number	125464

U.S.PATENT APPLICATION PUBLICATIONS

[Remove](#)

Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20010042785	A1	2001-11-22	Walker	
	2	20020004774	A1	2002-01-10	Defarlo	
	3	20020107781	A1	2002-08-08	Neyman	
	4	20040117302	A1	2004-06-17	Weichert	
	5	20060195386	A1	2006-08-31	Glodjo	

If you wish to add additional U.S. Published Application citation information please click the Add button [Add](#)

FOREIGN PATENT DOCUMENTS

[Remove](#)

Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ²	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T ⁵
	1							<input type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button [Add](#)

NON-PATENT LITERATURE DOCUMENTS

[Remove](#)

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	09801588
Filing Date	2001-03-08
First Named Inventor	Keith
Art Unit	3692
Examiner Name	C.B. Graham
Attorney Docket Number	125464

1	LOWENSTEIN, R., "Why Stock Options Can Be Dynamite for a Portfolio," Wall Street Journal (Europe), November 7, 1997, p. 13.	<input type="checkbox"/>
2	McGUIRE, C., "FIXML Set for Launch," Wall Street & Technology 17(3):50, March 1999.	<input type="checkbox"/>
3	TSU, M.E., "Tutorial on Using Options in Active Strategies," Derivatives Quarterly 6(1):39-48, Fall 1999.	<input type="checkbox"/>
4	TWITCHELL, E.E., "Barron's Online: Extreme Markets," Barron's 80(15):36, April 10, 2000.	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button **Add**

EXAMINER SIGNATURE

Examiner Signature	/Clement Graham/	Date Considered	03/30/2008
--------------------	------------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.